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Practitioner's Docket No. ACT-169 (51955-RCE)

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Steinberg et al.

Serial No.: 09/990,509

Group No.: 2874

Filed: 11/21/01

Examiner: Michael J. Stahl

For: OPTICAL DEVICE PACKAGE HAVING A CONFIGURED FRAME

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**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date 4/9/04

By: Susan M. Dillon  
Susan M. Dillon

\*\*\*\*\*

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Date: April 9, 2004

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

**I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION**

The patents, publications or other information submitted for consideration by the Office are listed on Form PTO-1449, attached hereto.

It is respectfully requested that the Examiner carefully consider and make of record each of the documents cited herein.

Applicants notify and cite to the Examiner the following copending and commonly assigned U.S. applications U.S. Serial No. 09/519,165, filed March 6, 2000.

**II. COPIES**

a. ☒

Submitted herewith is a legible copy of (i) each U.S and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

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III. CONCISE EXPLANATION OF THE RELEVANCE

(check at least one box)

- a. ☒ Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b. ☐ A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:
- c. ☐ The following additional information is provided for the Examiner's consideration:

FEEES

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☒ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):

(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☐ No certification; therefore, a fee in the amount of \$\_\_\_\_\_ is required by 37 C.F.R. § 1.17(p).
- or
- b. ☐ See the certification below. No fee is required.

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VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.
- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

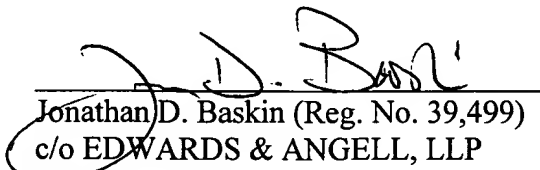
☐ Please charge Deposit Account No. 04-1105 in the amount of \$ \_\_\_\_\_ for the above-indicated fee. A triplicate copy of this paper is attached.

☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,

Date: April 9, 2004

  
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Tel: (508) 787-4766



FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	DOCKET NO. ACT-169 (51955-RCE)	SERIAL NO.: 09/990,509
	APPLICANT(S): Steinberg	
	FILING DATE: 11/21/01	GROUP NO.: 2874

UNITED STATES PATENT DOCUMENTS

EXAM. INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,632,027	10/14/03	Yoshida et al.	385	88	
	AB	6,585,426	07/01/03	Shuto et al.	385	90	
	AC	5,313,546	05/17/94	Toffetti	385	135	
	AD	6,655,853	12/02/03	Yap et al.	385	88	
	AE	4,411,057	10/25/83	Duda et al.	29	569	
	AF	4,210,923	07/01/80	North et al.	357	30	
	AG	2001/0022382	09/20/01	Shook	257	415	
	AH	2002/0090749	07/11/02	Simmons	438	64	
	AI	2002/0113296	08/22/02	Cho et al.	257	659	
	AJ	2003/0071283	04/17/03	Heschel	257	200	
	AK	2002/0001435	01/03/02	Steinberg et al.	385	49	
	AL	2003/0007771	01/09/03	Steinberg et al.	385	137	
	AM	2003/0034438	02/20/03	Sherrer et al.	250	216	
	AN	2003/0123833	07/03/03	Ricks et al.	385	137	
	AO	2003/0137022	07/24/03	Dautartas et al.	257	432	
	AP	4,826,272	05/02/89	Pimpinella et al.	350	96.20	
	AQ	4,904,036	02/27/90	Blonder	350	96.11	
	AR	5,071,213	12/10/91	Chan	385	52	
	AS	5,384,872	01/24/95	Jacobs-Cook et al.	385	31	
	AT	5,448,014	09/05/95	Kong et al.	174	52.3	
	AU	5,504,372	04/02/96	Braden et al.	257	723	
	AV	5,562,837	10/08/96	De Givry	216	18	
	AW	5,818,404	10/06/98	Lebby et al.	345	82	
	AX	6,056,448	05/02/00	Sauter et al.	385	92	
	AY	6,207,950	03/27/01	Verdiell	250	239	

Examiner:

Date:



<b>FORM PTO-1449</b>				<b>DOCKET NO. ACT-169 (51955-RCE)</b>		<b>SERIAL NO.: 09/990,509</b>	
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				<b>FILING DATE: 11/21/01</b>		<b>GROUP NO.: 2874</b>	
<b>UNITED STATES PATENT DOCUMENTS</b>							
<b>EXAM. INITIALS</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>FILING DATE IF APPROPRIATE</b>
	AZ	6,222,967	04/24/01	Amano et al.	385	49	
	BA	6,318,910	11/20/01	Higashikawa	385	94	
	BB	6,377,742	04/23/02	Go	385	134	
	BC	6,611,001	08/26/03	Cappuzzo et al.	257	81	
	BD	6,680,491	01/20/04	Nakanishi et al.	257	98	
<b>FOREIGN PATENT DOCUMENTS</b>							
		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>COUNTRY</b>	<b>CLASS</b>	<b>SUBCLASS</b>	<b>TRANSLATION YES/NO</b>
	BE	0 331 331	09/06/89	Europe			Yes
<b>OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)</b>							
<b>Examiner:</b>					<b>Date:</b>		